CAP System Frequently Asked Questions

The *CAP System* Frequently Asked Questions document is divided into four sections: General Questions; Getting Started; Managing Improvement Plans and Corrective Actions; and Technical Questions.

General Questions

1. What is the *Corrective Action Program (CAP) System*?

The *Corrective Action Program* (*CAP*) *System* is a web-based application that allows Federal, State, and local emergency response and homeland security officials to track, prioritize, and analyze corrective actions following exercises, policy discussions, and real-world events.

2. Who sponsors the system?

The system is sponsored by the Department of Homeland Security's (DHS) Homeland Security Exercise and Evaluation Program (HSEEP) and is a component of the HSEEP toolkit.

3. What is the functionality of the *CAP System?*

The *CAP System* enables users to quickly upload a finalized After Action Report/Improvement Plan (AAR/IP), track the progress of corrective action implementation, and analyze and report on trends in improvement plans.

4. What are corrective actions?

Corrective actions are the component pieces of an improvement plan. Following an exercise or real-world incident, participants conduct an after action conference, during which they review their own performance and draft an AAR/IP. The improvement plan portion of the AAR/IP includes the individual steps, or corrective actions, needed to implement a suggested improvement. The *CAP System* tracks the implementation of these individual corrective actions.

Further detail on this process can be found in the *Homeland Security Exercise and Evaluation Program (HSEEP) Volume III: Evaluation and Improvement Planning*.

5. What are the benefits of the *CAP System?*

The *CAP System* simplifies the process for implementing improvement plans and tracking corrective actions. It enables users to quickly enter finalized improvement plan data, assign action officers to monitor progress, and track resolution of corrective actions from initial assignment to completion. It helps all organizations and jurisdictions remain accountable to strengthening preparedness, while providing more free time to implement and resolve solutions rather than discuss them.

6.   Who uses the *CAP System*?

The *CAP System* is available to homeland security professionals at all organizational and jurisdictional levels: Federal, State, local, tribal, and private sector.

7.   When was the *CAP System* released to the homeland security community?

CAP System Version 1.0 was made available to the homeland security community on November 13, 2006 through the HSEEP website (hseep.dhs.gov). Version 2.0 will be released in March 2007.

8.   What is the *CAP System's* relationship to HSEEP?

HSEEP processes and protocols are the foundation of the *CAP System*, specifically those established in *Volume III: Evaluation and Improvement Planning*. Once complete, the system will be integrated with all components of the HSEEP toolkit, including the National Exercise Scheduling System (NEXS), the Design and Development System, and the Exercise Evaluation Guide (EEG) library. Additionally, the *CAP System* will link users to information found on *Lessons Learned Information Sharing (LLIS)*, the *Responder Knowledge Base (RKB),* and the *First Responder Training Portal (FRTP).*

9.   What are the different user role responsibilities?

The *CAP System* is built to support a hierarchical user-based structure. This means that the improvement plan data users can access is based on their assigned role for a particular event. However, some users may have multiple roles for one event or have different roles for multiple events.

- **Event Administering Agency (EAA) and EAA Designee:** User responsible for coordinating all preparedness exercises for a Federal agency. Responsible for creating event records in the system.

- **State Administering Agency (SAA) and SAA Designee:** User responsible for coordinating all preparedness exercises for a single State. The user is the primary individual for creating new events in the system and tracking event improvement plans assigned to that State.

- **Event POC and Event Designee:** User responsible for entering new event information, including the event AAR/IP into the system. The Event POC is the primary point of contact for an event and the only user that can post a finalized improvement plan to the system.

- **Organization POC:** User responsible for assigning action officers to specific corrective actions and maintaining contact information for the organization.

- **Action Officer:** User responsible for tracking the implementation status of a corrective action for an assigned organization.

10. Are organizations and jurisdictions required to use the *CAP System* following an exercise?

Organizations and jurisdictions are strongly encouraged to use the *CAP System*, but there is no current DHS requirement to do so.

11. Do private sector organizations have access to the system?

Members of the homeland security community, including private sector organizations, will be invited to register if there is an AAR/IP in the system that they have responsibility to implement.

12. What kind of training will be offered for the *CAP System*?

As the system is rolled-out, training and field support will be made available to members of the exercise community. This support will include revisions to the HSEEP Mobile Training Course, online tutorials, workshops, conferences, and remote training via the internet. The HSEEP website and *Lessons Learned Information Sharing* (*LLIS.gov)* will post additional overview information and training materials as they become available.

Getting Started

14. How do I register for the *CAP System?*

Access to the *CAP System* is by invitation only. Members of the homeland security community will be invited to register if there is an AAR/IP in the system that they have responsibility to implement. In addition, the system utilizes a role-based security model, meaning that users will only have access to improvement plan data that they need to view.

15. Where do I log-in to the *CAP System?*

The *CAP System* can be accessed through the HSEEP website: hseep.dhs.gov

16. I've been invited to use the system. What do I do next?

When you receive your invitation to become a system user, you should also receive a registration number. Use this number to access the step-by-step registration process on the *CAP System* login page. Once you have gone through the registration process, you will be sent an e-mail notification to alert you when your registration has been approved. You can then use the password you created during the registration process to login to the system.

17. Can I share *CAP System* content with others?

The information on the system is considered sensitive but unclassified; therefore, access to the system is restricted to homeland security professionals. *CAP System* materials should not be disseminated to unauthorized users without prior DHS approval.

18. Can I share my login information with other people in my organization?

No, do not share your login information with anyone. Each user role can have an unlimited number of designees to support system responsibilities, so there is no reason to have to share your personal information.

19.   How do I invite a colleague to use the system?

Access to the *CAP System* is by invitation only. All *CAP System* users must be directly related to an event to be given access to the system. If you wish to grant access to a designee, please contact the Help Desk at 877-612-HELP (4357) or send an email to support@hseep.net. Our Help Desk will determine their eligibility and then invite them to register for the system.

Managing Improvement Plans and Corrective Actions

20.   Who can create a new Event?

SAA and EAA users have the ability to request that new events be added to the system.

21.   Who can add a new recommendation?

The organization or jurisdiction sponsoring the event, or the Event POC and Event Designees, have the ability to create improvement plan recommendations in the system.

22.   Can recommendations be modified once they are posted in the system?

No. Consistent with HSEEP, recommendations are considered final when an AAR/IP is published. They cannot be updated once they have been posted to the system. However, the *CAP System* does allow for recommendations and corrective actions to be added to an improvement plan for real-world events and policy discussions.

23.   Who can add a corrective action to the system?

Event POC and Event Designee users have the ability to create new corrective actions and assign them to Organizations.

24.   Who are corrective actions assigned to?

When a corrective action is initially created, the Event POC or Event Designee user assigns the corrective action to organizations identified in the AAR. By default, the corrective action is assigned to the POC for the organization assigned to the corrective action. The Organization POC has the ability to reassign the corrective action to a different Action Officer.

25.   Who can update a corrective action?

Any Action Officer currently assigned to the corrective action. Action Officers are the only users who have the ability to modify corrective action details, such as status and timeline.

Event POC, Event Designee, Organization POC, and Action Officer users have the ability to create a text update for a corrective action. However, only Action Officers assigned to the corrective action have the ability to update the completion percentage for the corrective action.

26.   When is the completion percentage for a recommendation 100 percent? When is it 100 percent for an Improvement Plan?

Completion percentage status is determined by the Action Officer responsible for the corrective action. The percentage status is a subjective assessment by the Action Officer and can be increased by increments of 10 percent.

The completion percentage for a recommendation reaches 100 percent when the completion percentages for all corrective actions for that associated recommendation are 100 percent.

The completion percentage for an improvement plan reaches 100 percent when the completion percentages for all corrective actions for that event are 100 percent.

27.   What status values can a corrective action have?

Corrective action status values are identified in the CAP System by round colored circles in the corrective action details. A corrective action can have the following status values:

- **Open (black circle):** Corrective action exists in the system, but implementation has not yet started.

- **In Progress — On Schedule (yellow circle):** Work has started on the corrective action, and the projected completion date for the corrective action is a future date.

- **In Progress — Overdue (red circle):** Work has started on the action item, but the projected completion date for the corrective action has passed.

- **Complete - On Schedule (green circle):** Work on a corrective action was completed prior to the projected complete date.

- **Complete — Overdue (green circle):** Work on a corrective action was completed after the projected completion date.

- **On Hold (green circle):** Work on a corrective action has been put on hold and will resume at a later date.

- **Inactive (black circle):** Work on a corrective action has ceased and will not resume.

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Technical Questions

28.   What type of browser (software) do I need to view the *CAP System* site?

It is recommended that users visit the *CAP System* through Internet Explorer.

29.   How secure is the *CAP System*?

K2Share, a secure application hosting company, hosts the *CAP System* in a secure operating center, which was designed to meet the standards for US Government Sensitive Compartmentalized Information Facilities (SCIF).

30.   If I experience technical problems or forget my password, whom should I contact?

You should contact the *CAP System* Help Desk, either via e-mail or telephone. They will respond to all technical inquiries and reset passwords within 24 hours of being contacted. You can reach the CAP System help desk at 877-612-HELP (4357) or support@hseep.net.